

Participant Transitions

Division staff, Participants, Legal Representatives, and Providers

Date of Issue	Policy File Name	
October 01, 2011	BHD-PSS-Participant Transitions-10.2011	
Approval Date and Signature		
BHD Senior Administrator	or Designee	Date
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Purpose

To assure that participants receive:

- Continuity of services,
- Information needed to make an informed choice, and
- Consistent and proper support from team members through the transition process.

To provide clear concise roles/responsibilities for the team members when there is a request by a participant or his/her legal guardian to change:

- Case managers,
- Location of services.
- Service providers, or
- Any of the above that may occur as a result of an emergency transition.

Policy

Division staff shall assist participants to transition providers, locations, or programs by providing case managers and the participant/legal representative(s) access to transition checklists, provider lists, and other appropriate information and support to ensure continuity of services.

Case Managers shall assist participants in transitioning as smooth as possible by notifying all necessary parties in a timely fashion, providing coordination and support to team members, and following the Division's transition rules, policy, procedures and checklists.

Policy Provisions

Case Managers shall notify the local Participant Support Specialist (PSS) when a participant and/or legal representative is requesting a change in:

- · Case managers,
- Service providers,
- Physical location, or
- Transitioning from one waiver to another waiver, service program or out of waiver services.

If a case manager is resigning from a participant, the case manager shall give thirty (30) days written notice of the change to the participant, to the legal representative (if applicable) and to the Division.

If there is a case management change due to leave of absence, dismissal, or resignation without 30 day notice, then the provider shall follow its established back-up plan and follow the procedure set forth in this document. A case manager employed by an organization is required to have an active National Provider Identity number (NPI#) linked to the organization's case management NPI# and shall follow the Division policy on *Participant Transitions* as though they were an independent contractor with the state.

Through the Division's monitoring processes, such as participant case reviews, plan of care approval, incident report and complaint follow up, and team meeting attendance, Division staff shall ensure that the Division's transition policy, procedures and processes are consistently followed by case managers and other team members.

Procedures

1. Change in Case Manager

Form: Transition Checklist for Changing a Case Manager or Location

- a. **Approval.** When a participant and/or legal representative informs a Division PSS of a request to change case managers, the PSS determines if the participant and/or legal representative is requesting to change more than twice a year.
 - i. If the participant and/or legal representative initiate a change in case managers more frequently than twice a year, it shall be approved by the Division in advance.
 - ii. Approvals shall be made in accordance with the Division's case management rules and regulations by the waiver manager or designee.
 - iii. The PSS sends the request in writing (E-mail is acceptable) with justification and/or reasons for the change, which requires a policy exception.
- b. **Transition Process Review.** The PSS reviews the transition process with the participant and/or legal representative.
- c. **Provider List.** The PSS will mail, E-mail, or assist the participant or legal representative in accessing the Division's web-based provider list in order to choose a new case manager. The PSS provides the participant and/or legal representative with a current provider list to identify other potential case managers and informs them to start the transition process by first choosing a new case manager and informing their current case manager of the decision to change.
- d. **Case Management Selection.** The PSS provides the participant and/or legal representative with the *Case Management Selection* form. The *Case Management Selection* form must be signed by the participant/legal representative, the current case manager, and the newly chosen case manager. The completed form is sent to the local PSS. When approved, the PSS will send a copy of the completed *Case Management Selection* to the current case manager, newly chosen case manager, and the participant and/or legal representative.
- e. **Transition Checklist.** Upon PSS receipt of the *Case Management Selection* form, the PSS initiates the *Transition Checklist for Changing a Case Manager or Location* and sends a copy of it to both the current case manager and the new case manager.
- f. **Recording the change.** A field PSS is responsible for scanning the *Case Management Selection* form, uploading it in the document library of the EMWS, and notifying the Cheyenne PSS by email. The current Case manager will modify the plan of care and upload the transition checklist into the EMWS under documents. Upon receiving the modification to the plan, the Cheyenne PSS will approve the modification and activate the Case management change by moving the *Case Management Selection* form from the document library into the associated user section as the new case manager.
- g. **Transition Meeting.** The current case manager is responsible for scheduling a transition meeting and making the necessary arrangements to complete all items listed on the *Transition Checklist* to ensure continuity of services for the participant.

2. Relocation within the state

Form: Transition Checklist for Changing a Case Manager or Location

- a. **Transition Process Review.** When the PSS is notified by the case manager, the participant, and/or the legal representative of the intent to relocate within the state, the PSS will review the transition process with the participant and/or legal representative.
- b. **Provider List.** The PSS mails, E-mails, or assists the participant/legal representative in accessing the Division's web-based provider list in order to choose new service providers.
- c. **Transition Checklist.** The PSS initiates the *Transition Checklist for Changing a Case Manager or Location* and sends it to the current case manager, then notifies the new PSS if the participant is moving outside of the current PSS assigned area. The current PSS shares any pertinent health and safety issues with the new PSS.
- d. **Case Manager Selection.** The PSS works with the current case manager in assisting the participant and/or legal representative in attaining a new case manager and completing the *Case Manager Selection* form. The new case manager assists them in procuring services.
- e. **Transition Meeting.** The current case manager is responsible for scheduling a transition meeting and making the necessary arrangements to complete all items listed on the *Transition Checklist* to ensure continuity of services for the participant. Both PSS employees determine which PSS will

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- f. **Recording the change.** The Field PSS notifies the Cheyenne PSS partner regarding the chosen providers and change in location. The Cheyenne PSS relays the information to other Cheyenne PSS staff. The current Case manager will modify the plan of care and upload the transition checklist into the EMWS under documents. Upon receiving the modification to the plan, the Cheyenne PSS will approve the modification.
- g. **Emergencies.** PSS notify the PSS Manager, if it is an emergency relocation. *NOTE:* Often if it is a relocation, there is also a change in case manager.
- **3. Change of Habilitation Provider** [Residential Habilitation, Special Family Habilitation Home, Day Habilitation, Supported Living, Community Integrated Employment]

Form: Transition Checklist for Changing a Provider

- a. **Transition Checklist.** When the PSS is notified by the case manager that the participant and/or legal representative is requesting to change habilitation providers, the PSS will review the *Transition Checklist for Changing a Provider* and process with the case manager.
- b. **Provider List.** The current case manager mails, E-mails, or assists the participant/legal representative in accessing the Division's web-based provider list in order to choose new service providers.
- c. **Recording the change.** Field PSS notifies the Cheyenne PSS partner regarding the chosen providers and change in location. The Case manager will modify the plan of care and upload the transition checklist into the EMWS under documents. The Cheyenne PSS will approve the modification.

4. Residential move within an organization

Form: Transition Checklist for a Residential Move within a Provider Organization

- a. **PSS Notification.** When the PSS is notified by the case manager that the participant and/or legal representative, or the provider organization is requesting a residential move for the participant, the PSS shall find out who is making the request, the reason for the change, and how the participant and/or legal representative were notified.
- b. **Transition Checklist.** The PSS refers case manager to the website to access and complete the *Transition Checklist for a Residential Move within a Provider Organization* in order to ensure continuity of services for the participant and that staff are trained on the participant before the move occurs.
- c. **Recording the change.** The Case manager will be responsible for updating the EMWS with the current address and uploading the transition checklist into the EMWS under documents.

5. Case Manager Change due to Dismissal, Resignation without a 30 day notice, or an Unexpected Permanent Vacancy

Form: Transition Checklist for a Case Manager Change due to Dismissal , Resignation or Unexpected Permanent Vacancy

- a. **Assign a Back-up.** When a case manager at a provider organization has either been dismissed, resigns without a thirty (30) day notice, or there is an unexpected permanent vacancy, then it shall be the responsibility of the provider to assign a back-up case manager until the participant and/or legal representative:
 - i. Is offered choice by the local PSS,
 - ii. A case manager is selected, and
 - iii. A transition meeting is held.
- b. **Notification.** The provider will notify the Provider Support Manager as soon as this occurs. This is important so that the organization does not be in violation of HIPAA requirements. The provider shall follow its established back-up plan, which includes providing written notification of the temporary change to the participants, legal representatives, and their assigned PSS, and giving the name and contact information of the back-up case manager. The written notification shall occur within 7 calendar days of the case manager no longer providing services unless there are extenuating circumstances and an extension may be approved by the PSS. A modification to the plan will be submitted within 14 calendar days via the EMWS and a copy of the letter uploaded in the documents file. This modification will require a team verification page but doesn't need the participant/legal representative signature. The back-up case manager would need to identify how the participant/legal representative was notified.

- c. **Transition Process Review.** When the PSS is notified of the back-up case manager, the PSS reviews the transition process with the participant and/or legal representative and the requirement to make a formal case manager selection.
- d. **Provider List.** The PSS will mail, E-mail, or assist the participant or legal representative in accessing the Division's web-based provider list in order to choose a new case manager or decide to remain with the back-up case manager. If a new case manager is chosen, then the PSS informs them to start the transition process by informing their current case manager of the decision to change.
- e. **Case Management Selection.** The PSS provides the participant and/or legal representative with the *Case Management Selection* form. The *Case Management Selection* form must be signed by the participant/legal representative, the current back-up case manager, and the newly chosen case manager (which may remain the same person). The completed form is sent to the local PSS.
 - i. The PSS will send a copy of the completed *Case Management Selection* to the back-up case manager, newly chosen case manager (if applicable), and the participant and/or legal representative.
- f. **Transition Checklist.** The PSS initiates the *Transition Checklist for a Case Manager Change due to Dismissal*, *Resignation or Unexpected Permanent Vacancy* in order to ensure continuity of services for the participant and sends the *Transition Checklist* to the back-up case manager to complete.
- g. **Recording the change.** A field PSS is responsible for scanning the *Case Management Selection* form, uploading it in the document library of the EMWS, and notifying the Cheyenne PSS by email. The back up case manager will modify the plan in the EMWS if the participant/legal representative chooses a different case manager. This modification will require a team verification page including the participant/legal representative signature, and the transition checklist uploaded in the document library. Upon receiving the modification to the plan, the Cheyenne PSS will approve the modification and activate the Case management change by moving the *Case Management Selection* form from the document library into the associated user section as the new case manager.
- h. **Transition Meeting.** The current back-up case manager is responsible for scheduling a transition meeting and making the necessary arrangements to complete all items listed on the *Transition Checklist* to ensure continuity of services for the participant. The temporary back-up case manager and newly selected case manager will coordinate, schedule, and notify all team members, including the PSS of the transition meeting at least 14 days prior to the meeting.

6. Possible Participant Emergency

- a. **Verification of Possible Emergency.** When a Division staff is contacted by the case manager and/or provider that there is a possible participant emergency which may involve a transition, the Division staff shall work with the case manager to verify circumstances; notify the PSS field staff of the possible participant emergency; and upon confirmation of an emergency situation, forward the information to the PSS manager or designee for approval or denial of the transition.
- b. **Emergency Transition Review by Manager.** The PSS manager or designee shall determine if there is an actual emergency and possible resolutions, then either approve or deny the emergency transition. The PSS manager shall discuss the possible solutions, any instructions, and approval or denial of the transition with the PSS.
 - i. If denied the PSS field staff shall contact the case manager and possibly the participant and/or legal representative explaining the reason for denial.
 - ii. If approved the PSS field staff shall type "Emergency Approval" on the appropriate transition checklist, complete the checklist, adjust timelines, and send to the case manager. The PSS shall contact the case manager, and possibly the participant and/or legal representative, regarding the procedure and adjusted timelines.
 - iii. If approved the case manager will provide a copy of the plan of care to the new provider and review it with them the same day as the change and schedule a transition meeting with the team and PSS.
 - v. If the Division is not notified of an emergency situation in a timely manner information will be forwarded to the Provider Support staff as a non-compliance issue
- **7. Failure to notify.** If a case manager fails to inform the PSS of a transition, the PSS completes an internal complaint and sends it to the appropriate provider support staff for follow up and a possible Quality

Improvement Plan.

- **8. PSS Transition Meeting Attendance.** PSS attendance of transition meetings is per PSS discretion, based upon currently assigned duties.
 - a. **Suggested priority list** is as follows:
 - i. Change in location and case manager
 - ii. Changing habilitation providers
 - iii. Case manager changes
 - iv. Residential moves within the provider organization
 - b. At PSS discretion the following can be requested: completed transition checklist, meeting minutes, and list of attendees.

Relationship to existing policies or documents

Chapter 1, Section 9 of the Division Rules for Case Management Chapter 41-43, Section 11 Chapter 45, Section 31 Medicaid Waiver documents, Appendix D